

“Hot Topic”

Contract Monitoring

Contract Services Bureau
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OHCMD • CBSD • YDS • CAD

The Need

- DCFS is responsible for the oversight of 440+ contracts totaling more than \$500 million annually
- DCFS Strategic Plan includes objectives strengthening the oversight of contracted services
- In early 2013 Contract Services Bureau was established to as part of this process
- Contract Monitoring Section, which will centralize the function, is currently under development

The Need *cont'd*

- Centralization of the contract monitoring function will enable the Department to better identify and target training needs, facilitate inter-departmental standardization, promote consistency and adequate monitoring processes by qualified staff
- In December 2012, the A-C initiated an audit of DCFS contracting processes at the request of the BOS
 - FY 2012-13 Contract Management Review Report yielded 13 findings
 - Several of which reinforced the need for centralization and standardization of the contract management function

The Need *cont'd*

- Board Motion 77-D – Strengthening the County's Oversight of FFAs & GHs for Dependent Children Under the Oversight of DCFS
 - 2nd Supervisorial District Motion
 - Approved April 30, 2013
 - Concerns regarding fiscal concerns/viability issues and the impact on programmatic output

Collaboration

- Programs, Contracts Administration Division and Fiscal Operations Division work collaboratively to monitor DCFS contractors compliance
- There is also collaboration with our external partners, such as the Auditor-Controller, Treasurer and Tax Collector, and Community Care Licensing

Current Monitoring Practices: *OHCMD*

FFAs & Group Homes

- Performance Reports of FFAs and GHs
- Preliminary work
- Entrance Conference
- Fieldwork
- Exit Conference
- Compliance Review Reports of FFAs and GHs
- FFAs & GHs are reviewed annually

Current Monitoring Practices: *OHCMD*

Emergency Shelter Care Licensed Foster Homes & Group Homes

- Regular on-site visits
- Interview children in placement
- Review children's files and staff files
- Regular face-to-face meetings with all providers
- Provide technical assistance to the providers
- Liaison between all providers and regional staff
- Daily tracking of intake and replacements within the contracted time frames (FHs -14 days; GHs - 30 days)
- ESC FHs reviewed twice a year; ESC GHs annually

Current Monitoring Practices: *OHCMD*

Foster Home Re-Evaluation - State Licensed Foster Homes

- Home visits to assess that the foster home is in compliance with licensing requirements, including health and safety regulations
- Interviews with the Licensed Foster Parents (LFPs)
- Search of CWS/CMS and consultation with CCL for history of child abuse investigations and dispositions
- Consultation with CSWs with children currently placed with the LFP
- Verification of required ongoing training (i.e. D-rate, F-rate, MAPP, current CPR and First Aid certification)
- Development of a comprehensive report of the re-evaluation findings
- Notification of the outcome of the re-evaluation to the LFP
- Re-Evaluations completed annually

Current Monitoring Practices: *OHCMD*

- FFA & GH Monitoring – 51 FFAs & 60 GHs
Staff – 7 FFA Monitors & 7 GH Monitors
- Emergency Shelter Care - 8 FHs & 8 GHs
Staff – 1 CSW
- Foster Home Re-Evaluation – 546 FHs
Staff – 4 CSWs

Current Monitoring Practices: *CBSD*

- Conduct Technical Reviews, including site visits, to ensure compliance
 - e.g. **Four times per year for Family Preservation**
- Monthly reviews of Billing/Invoices to Monitor Expenditures and Full Utilization
- Review Case Files (case notes, progress notes, case plans, etc.) to verify compliance
- Hold Entrance & Exit Conferences with Contractor
- Provide Written Review Feedback
- Review Contractor's Personnel Records

Current Monitoring Practices: *CBSD*

- Review Contractor's CAP and their adherence to the CAP
- Provide Technical Assistance as needed
- Interview clients when necessary
- Process Auxiliary Funds Requests and Reimbursement Claims for Discretionary Funds
- Prepare Annual State Reports and SIP
- Monitor MOUs with DPH for Substance Abuse Services
- Review and Monitor Deliverables
- Verify adherence to timeframes and documentation requirements

Current Monitoring Practices: *YDS*

- Contracted Programs
 - Transitional Housing Placement Program
 - Three Providers
 - Transitional Housing Program Plus
 - One Provider
 - Los Angeles Homeless Services Authority
 - One Provider
 - Gramercy Housing Group
 - One Provider

Current Monitoring Practices: *YDS*

- Schedule
 - At least two times a year
- Method of Review
 - Youth Case File Review
 - Administrative Files
 - Youth Interviews
 - Inspection of Living Units
- Post Review
 - Exit Interview
 - Letter Issued to Contractor
 - Contractor CAP Due within 2-Weeks

Current Monitoring Practices: *YDS*

Areas of Focus

- Administrative
 - Insurance
 - Personnel / Staffing
 - Training
 - Supervision
 - Minimum Requirements
 - Criminal Clearance
 - License/Certificate of Compliance (THPP)
 - Subcontracts
- Youth Files
 - Case Management Visits
 - Admission Forms
 - Required Documentation/Logs
 - Youth Savings/Allowance
 - Documentation of Youth
 - Employment
 - School
 - Health/Dental (THPP)
 - Reports
 - Monthly, Quarterly, Yearly
 - Ansell Casey Assessment
 - Aftercare Tracking

Current Monitoring Practices: *CAD*

- Track Vendor submission of certification of insurance and verify sufficiency of coverage with CEO Risk Management
- Track Vendor submission of Audited Financial Statements (AFS) and review summary page regarding findings
- Track Submission of Single Audit reports (if required per the contract)
- Consult with Fiscal regarding noted finding on AFS
- Confirm CCL licensing requirements are met for new contracts, amendments and renewals (as appropriate)
- Review monthly departmental Vendor Debt Report

Current Monitoring Practices: *CAD*

- Review A-C audit reports as appropriate
- Confirm vendors are not listed on the County Debarred List, Federal Excluded Party List or County CARD system

Administrative

- Follow-up on CDSS Management Decision and Foster Care Rate Termination and Rate Referrals
- Obtaining current Certified Statements of Information
- Verify Contractor compliance with requirement to notify DCFS when contract billings reach 75% of contract sum

Proposed Practices: *What's New*

- Centralized monitoring of all Program contracts
- Realignment of some current duties/responsibilities
- Contract Monitoring Handbook
- “Contracting process” specific cross training
- Risk Based Monitoring
 - Development of risk assessment based monitoring plan, including specialized risk assessment tools
 - Plan will assess child safety measures, programmatic deliverables and financial viability indicators

Proposed Practices: *What's New*

- Emphasis on Fiscal Monitoring
- Contract Services Bureau, Fiscal Operations OHCMD, and the Probation Department in close collaboration with A-C to develop protocol and elements of enhanced DCFS Fiscal Monitoring
- Staffed with Financial Specialists
 - Fiscal desk reviews
 - Fiscal field audits
 - Referrals to (A-C)

Proposed Practices: *What's New*

- Enhanced Quality Assurance
- In depth reviews of program efficacy utilizing content specific drill down tools assessing child welfare outcomes:
 - Educational performance and attainment
 - Child and family contact/visitation
 - Exits to permanency
 - Contractor involvement in child abuse/neglect investigations
 - Contractor staffing practices, **etc.**
- Pattern/Trend Analysis